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ATTORNEY DOCKET No. 22253-66093

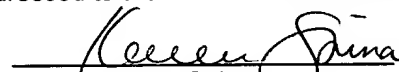
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of: Dennis E. DISCHER, Bohdana M. DISCHER, You-Yeon WON, James C-M. LEE,
Frank S. BATES, Daniel A. HAMMER

For: POLYMERSOMES AND RELATED ENCAPSULATING MEMBRANES

CERTIFICATION UNDER 37 CFR § 1.10

I hereby certify that this correspondence and the documents referred to as attached therein are being deposited with the U.S. Postal Service on December 14, 1999, in an envelope as "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 CFR § 1.10, Mailing Label Number EL303367888US addressed to the: Assistant Commissioner for Patents, Washington, DC 20231.


Karen Spina

Box PATENT APPLICATION
Assistant Commissioner for Patents
Washington, DC 20231

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09/460605
12/14/99

PATENT APPLICATION TRANSMITTAL LETTER

Transmitted herewith for filing, please find the following:

Type of Application:

- ☒ Utility (non-provisional)
☐ Divisional
☐ Continuation
☐ Continuation-In-Part (CIP)

Incorporation by Reference:

- ☐ The entire disclosure of the prior application, **from which a copy of the Oath or Declaration is supplied**, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein. (37 CFR § 1.63(d))

Benefit of Prior U.S. Application(s) Claimed (37 CFR § 1.78):

- ☐ PLEASE ENTER THE FOLLOWING AMENDMENT TO THE SPECIFICATION UNDER THE CROSS REFERENCE TO RELATED APPLICATIONS SECTION:

- ☐ This application claims the benefit of **U.S. Provisional Application(s) No(s)**.
60/_____, filed on _____.
- ☐ This application is a ☐ continuation ☐ continuation-in-part ☐ divisional
of copending **U.S. Application Serial No(s)**. _____, filed on _____.
- ☐ **International Application No.** _____ filed on _____ and which designated
the U.S.

Benefit of Prior Foreign Application(s):

- ☐ Priority is claimed under 35 U.S.C. § 119 of Application No. _____ filed on
_____ in _____ [COUNTRY].

☐ A Certified Copy of each of the following application(s) for which priority is claimed:

COUNTRY	APPLICATION NO.	FILING DATE

☐ is enclosed.

☐ has been filed in prior Application Serial No. 0_ / _____, which was filed on _____.

Application Elements Enclosed:

☒ 49 Pages of Specification

☒ 3 Pages of Claims

☒ 14 Sheets of Drawings

☐ Formal

☒ Informal

☐ Petition to Accept Photographs (37 CFR § 1.84(b)).

☒ 1 Page(s) of Abstract of the Disclosure

Accompanying Application Parts:

☐ Associate Power of Attorney

☐ Preliminary Amendment

☐ Information Disclosure Statement

☐ Form PTO 1449 (PTO/SB/08A, 08B)

☐ Copies of Cited References

☐ Nucleotide and/or Amino Acid Sequence Submission (37 CFR §§ 1.821-1.825).

☐ Microfiche (Appendix) (37 CFR § 1.96(c)).

☒ Return Receipt Postcard (itemized)

Declaration or Oath and Power of Attorney:

☒ New (executed original or copy).

☐ New (unexecuted).

☐ Copy from prior application (37 CFR § 1.63(d))

Deletion of Inventor(s) (37 CFR § 1.63(d)(2), 1.33(b)):

☐ Signed Statement deleting inventor(s) named in the prior application is attached.

Assignment:

☐ An executed Assignment of the invention to: _____

Small Entity Statements:

☒ Statement(s) that this is a filing by a small entity under 37 §§ CFR 1.9 and 1.27 attached.

☐ Status as a small entity was claimed in prior U.S. Application Serial No. _____ filed on _____.

Status is still proper and desirable.

☐ A copy of the statement in prior application is enclosed.

The filing fee has been calculated as shown below:

			<u>SMALL ENTITY</u>			<u>OTHER THAN SMALL ENTITY</u>	
	<u>NO. FILED</u>	<u>NO. EXTRA</u>	<u>RATE</u>	<u>FEE</u>	<u>OR</u>	<u>RATE</u>	<u>FEE</u>
BASIC FEE				\$380	<u>OR</u>		\$
TOTAL CLAIMS	20 - 20 =	<u>0</u>	x 9 =	\$	<u>OR</u>	x18 =	\$
INDEP. CLAIMS	3 - 3 =	<u>0</u>	x39 =	\$	<u>OR</u>	x78 =	\$
FIRST PRESENTATION OF							
MULTIPLE DEPENDENT CLAIM(S)			+130 =	\$	<u>OR</u>	+260 =	\$
		TOTAL		\$380	<u>OR</u>		\$

Method of Payment of Fees:


- ☐ No filing fee is to be paid at this time.
- ☐ Please charge my Deposit Account No. 50-0979 the amount of \$ _____. This transmittal is attached in duplicate.
- ☒ The filing fee of \$380.00 is enclosed. Please charge any deficiency or credit any overpayment to Deposit Account No. 50-0979.

Authorization to Charge Additional Fees:

NOTE: if no fees are to be paid on filing, the following items should NOT be completed.

- ☒ The Commissioner is authorized to charge payment of the following fees and to refund any overpayment associated with this communication or during the pendency of this application to Deposit Account No. 50-0979. **This sheet is provided in duplicate.**
- ☐ Filing fees (37 CFR § 1.16(a), (f) or (g)).
- ☒ Presentation of extra claims (37 CFR § 1.16(b), (c) and (d)).
- ☐ Surcharge for filing the basic filing fee and/or declaration later than the filing date of the application (37 CFR § 1.16(e)).
- ☒ 37 CFR §§ 1.17(a)(1)-(5) (Extension fees pursuant to 37 CFR § 1.136(a)).
- ☐ Application processing fees (37 CFR § 1.17).
- ☐ 37 CFR § 1.18 (Issue Fee at or before mailing of Notice of Allowance pursuant to 37 CFR 1.311(b)).

Date: December 14, 1999


 Evelyn H. McConathy
 Registration No. 35,279

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 1735 Market Street
 Philadelphia, PA 19103-7595
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**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR §§ 1.9(f) and 1.27(d)) -NONPROFIT ORGANIZATION**Applicant, Patentee or Identifier: Dennis E. Discher, Bohdana M. Discher,
James C-M. Lee and Daniel A. HammerApplication Serial No. or Patent No.: Not yet known

Filed or Issued: _____

Title: POLYMERSOMES AND RELATED ENCAPSULATING MEMBRANES

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Nonprofit Organization: **THE TRUSTEES OF THE UNIVERSITY
OF PENNSYLVANIA**Address of Nonprofit Organization: Center for Technology Transfer
3700 Market Street—Suite 300
University of Pennsylvania
Philadelphia, PA 19104-3147**Type of Nonprofit Organization**

- ☒ University or Other Institution of Higher Education
- ☐ Tax Exempt Under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3))
- ☐ Nonprofit Scientific or Education Under Statue of State of the United States of America if Located in the United States of America

(Name of State)_____
(Citation of Statute)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.
- ☐ the application identified above.
- ☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to, and remain with, the nonprofit organization, with regard to the above-identified invention.

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If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

☒ No such person, concern, or organization exists.

NOTE: Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR § 1.27).

Name _____

Address _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Name _____

Address _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

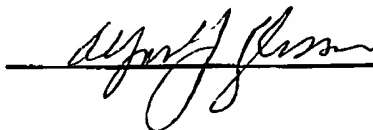
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time or paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR. § 1.28(b)).

Name of Person Signing: Alfred J. Glessner

Title in Organization: Director - Operations and Licensing

Address of Person Signing: Center for Technology Transfer
3700 Market Street—Suite 300
University of Pennsylvania
Philadelphia, PA 19104-3147

Signature: _____



Date: _____

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